

United States District Court
EASTERN DISTRICT OF TEXAS
SHERMAN DIVISION

SECURITIES AND EXCHANGE
COMMISSION

v.

WILLIAM E. MAPP, III

§
§
§
§
§
§
§

Civil Action No. 4:16-CV-00246
Judge Mazzant

VERDICT FORM

We, the Jury, find as follows:

1. With respect to the SEC's claim that Defendant Bill Mapp violated **Section 10(b)** of the Securities Exchange Act and **Rule 10b-5(a)**, we, the jury, find by a preponderance of the evidence that Defendant Bill Mapp is:

Liable _____ Not Liable X

2. With respect to the SEC's claim that Defendant Bill Mapp violated **Section 10(b)** of the Securities Exchange Act and **Rule 10b-5(b)**, we, the jury, find by a preponderance of the evidence that Defendant Bill Mapp is:

Liable _____ Not Liable X

3. With respect to the SEC's claim that Defendant Bill Mapp violated **Section 10(b)** of the Securities Exchange Act and **Rule 10b-5(c)**, we, the jury, find by a preponderance of the evidence that Defendant Bill Mapp is:

Liable _____ Not Liable X

4. Do you find by a preponderance of the evidence that the conduct you found in response to Questions 1-3 above occurred:

a) Prior to April 11, 2011?

Answer Yes or No yes

b) On or after April 11, 2011?

Answer Yes or No yes

5. With respect to the SEC's claim that Defendant Bill Mapp violated **Section 17(a)(1)** of the Securities Act, we, the jury, find by a preponderance of the evidence that Defendant Bill Mapp is:

Liable _____ Not Liabe X

6. With respect to the SEC's claim that Defendant Bill Mapp violated **Section 17(a)(2)** of the Securities Act, we, the jury find by a preponderance of the evidence that Defendant Bill Mapp is:

Liabe X Not Liabe _____

7. With respect to the SEC's claim that Defendant Bill Mapp violated **Section 17(a)(3)** of the Securities Act, we, the jury, find by a preponderance of the evidence that Defendant Bill Mapp is:

Liabe _____ Not Liabe X

8. Do you find by a preponderance of the evidence that the conduct you found in response to Questions 5-7 above occurred:

- a) Prior to April 11, 2011?

Answer Yes or No yes

- b) On or after April 11, 2011?

Answer Yes or No yes

9. As to **Section 5(a) and (c)**, did the SEC prove by a preponderance of the evidence that Defendant Bill Mapp directly or indirectly sold or offered to sell securities?

Answer Yes or No Yes.

If your answer to Question 9 is "Yes", please answer the remaining questions. Otherwise, proceed no further.

10. Do you find by a preponderance of the evidence that the conduct you found in response to Question 9 above occurred:

a) Prior to April 11, 2011?

Answer Yes or No Yes

b) On or after April 11, 2011?

Answer Yes or No Yes

11. Did Defendant Bill Mapp prove by a preponderance of the evidence that **Rule 506** exemption from registration applied to Servergy's sale of or offer to sell securities?

Answer Yes or No Yes

12. Did Defendant Bill Mapp prove by a preponderance of the evidence that **Rule 508** applied to Servergy's sale of or offer to sell securities?

Answer Yes or No Yes

Fore

Date: 12/13/17